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Date of Deposit: April 19, 2001

PATENT APPLICATION
Attorney Docket No.: 24631-501



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Harry A. Kaplan et al.
SERIAL No.: 10/043,899
FILING DATE: January 11, 2002
FOR: ANONYMOUS AUCTIONING OF STRUCTURED FINANCIAL
PRODUCTS OVER A COMPUTER NETWORK

April 19, 2002
Boston, Massachusetts

BOX IDS
Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER

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Sir:

Transmitted herewith for filing in the present application are the following documents:

- ☒ Information Disclosure Statement
- ☒ Modified Form 1449
- ☒ Return Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at 212/692-6803, New York, New York.

A duplicate copy of this transmittal letter is enclosed.

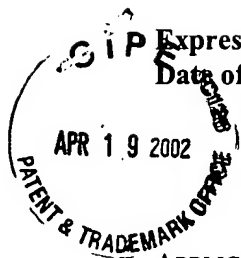
Respectfully submitted,

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PATENT TRADEMARK OFFICE



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Date of Deposit: April 19, 2002

Attorney Docket No. 24631-501

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Harry A. Kaplan et al.
SERIAL NUMBER: 10/043,899 EXAMINER: TBA
FILING DATE: January 11, 2002 ART UNIT: 2164
FOR: ANONYMOUS AUCTIONING OF STRUCTURED FINANCIAL PRODUCTS
OVER A COMPUTER NETWORK

Box IDS
Commissioner for Patents
Washington, D.C. 20231

April 19, 2002
Boston, Massachusetts

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INFORMATION DISCLOSURE STATEMENT

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, Applicants hereby make of record the documents listed below and on the attached modified Form PTO-1449 (submitted in duplicate) in the above-identified application, copies of which are submitted herewith. The order of presentation of the references should not be construed as an indication of the importance of the references.

U.S. Patent Documents:

5,890,138	6,021,398	6,151,589
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A copy of each of the above-identified documents is enclosed unless otherwise indicated on the attached Form PTO-1449 (modified). It is respectfully requested that the Examiner consider the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims, and signs the enclosed form PTO-1449 to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application.


By submitting this Information Disclosure Statement, the Applicant makes no representation that: (1) a search has been performed, of the extent of any search performed, or that more relevant information does not exist; (2) the information cited in the Statement is, or is

APPLICANTS: Harry A. Kaplan et al.
U.S.S.N.: 10/043,899

considered to be, material to patentability as defined in 37 C.F.R. §1.56(b); and (3) the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his/her own conclusion regarding the relevance of the cited information. An early and favorable action is hereby requested. Please charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 24631-501.

Respectfully submitted,



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Modified Form 1449/PTO O I P E INFORMATION DISCLOSURE STATEMENT BY APPLICANT APR 19 2002 (use as many sheets as necessary)	Application Number	10/043,899
	Filing Date	January 11, 2002
	First Named Inventor	Harry A. Kaplan et al.
	Group Art Unit	2164
	Examiner Name	TBA
	Attorney Docket Number	24631-501

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[illegible]

Examiner Signature		Date Considered	
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Include copy of this form with next communication to applicant.